

Retention and Classification Report

Agency: Department of Human Services. Office of Services Review
(2816)
120 North 1200 West, Rm 313
Salt Lake City, UT 84103

Records Officer Karen Hill

18475	Case process review files
25728	Disabilities ombudsman case reviews
23519	Fatality review files
26450	Performance Studies
23735	Qualitative Case Review case stories

AGENCY: Department of Human Services. Office of Services Review

SERIES: 18475

3

TITLE: Case process review files

DATES: 1995-

ARRANGEMENT: Numerical

DESCRIPTION:

These records contain unique information in rough notes or drafts assembled or created and used to prepare or analyze other documents. The information adds proper understanding to the formulation and execution of policies, decisions, actions, or responsibilities.

RETENTION:

Retain until audit complete

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 33.

AUTHORIZED: 02/12/2009

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until audit or review is completed and then destroy.

APPRAISAL:

Administrative Fiscal

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits and reviews.

AGENCY: Department of Human Services. Office of Services Review

SERIES: 18475

TITLE: Case process review files

(continued)

PRIMARY CLASSIFICATION:

Protected

SECONDARY CLASSIFICATION(S):

Private. UCA 63G-2-302 (2008)

Controlled. UCA 63G-2-304 (2008)

AGENCY: Department of Human Services. Office of Services Review

SERIES: 25728

3

TITLE: Disabilities ombudsman case reviews

DATES: 2003-

ARRANGEMENT: Alphabetical by name, thereunder chronological by date.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These case files are collected and maintained to document steps taken in the process of resolving conflicts between consumers of the Division of Services for People with Disabilities (DSPD) and any of the Divisions contracted service providers or the Division itself. Records may contain identifying information such as: name, date of birth, social security number, Medicaid number, address, phone number, DSPD support coordinator, DSPD Region offering services and contracted day and residential providers including direct care and supervising staff on the referrer, subject of the referral and legal guardian for the subject of the referral. Case logs document all activities, conversations, observations, thoughts, and conclusion of the Disabilities Ombudsman.

Also included is collateral information copied from DSPD case files, bank statements, Social Security records, medical/dental records, psychological records, Medicare/Medicaid records, correspondences not generated by nor originally addressed to the Disabilities Ombudsman, court records, e-mails, correspondences addressed to the Disabilities Ombudsman and other agencies providing services to the consumer/subject of the referral or their families. Also included are correspondences initiated by the Disabilities Ombudsman and sent to members of a mediation team that may include DSPD staff, contract provider staff, family, friends or interested parties of the consumer/subject of the referral, and the consumer/subject of the referral. These correspondences contain detailed information about the issues of concern, each team member's perspectives about the issues of concern, agreed upon solutions to resolve the conflicts in the issues of concern and follow-up task given to members of the mediation team. Closing Summary Reports detail issues of concern; the steps taken to try and resolve the conflicts found in the issues of concern; DSPD's response to the consumer/subject of concern and willingness to cooperate in the resolution.

RETENTION:

Retain 8 years.

AGENCY: Department of Human Services. Office of Services Review

SERIES: 25728

TITLE: Disabilities ombudsman case reviews

(continued)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2005

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Computer data files: Retain in Office until administrative value has been met and then delete.

APPRAISAL:

Administrative

PRIMARY CLASSIFICATION:

Controlled UCA 63G-2-304(2008)

AGENCY: Department of Human Services. Office of Services Review

SERIES: 23519

3

TITLE: Fatality review files

DATES: 1994-

ARRANGEMENT: Chronological by death date, thereunder alphabetical by decedent last name.

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These records are a compilation of files from the different divisions within Human Services. Each division has a Fatality Review committee that documents assistance that had been given to the deceased person. Included in the records are the committee's minutes and their final reports. These records are used to ensure that the Department of Human Services is adequately providing the assistance that it should be. They are also used to make policy and procedure recommendations for the department.

RETENTION:

Retain 7 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

AGENCY: Department of Human Services. Office of Services Review

SERIES: 23519

TITLE: Fatality review files

(continued)

APPRAISAL:

Administrative Historical Legal

PRIMARY CLASSIFICATION:

Protected UCA 63G-2-305 (27)(2008).

SECONDARY CLASSIFICATION(S):

Private

Controlled

AGENCY: Department of Human Services. Office of Services Review

SERIES: 26450

3

TITLE: Performance Studies

DATES: 1994-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are reports written and prepared as a result of a performance audit on state agencies by an outside agency. They contain summary documentation on agency programs, operations and productivity.

RETENTION:

Retain 3 years

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 22.

AUTHORIZED: 02/16/2007

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

AGENCY: Department of Human Services. Office of Services Review

SERIES: 26450

TITLE: Performance Studies

(continued)

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private. UCA 63G-2-302(1)(f), UCA 63G-2-302(2)(d)

AGENCY: Department of Human Services. Office of Services Review

SERIES: 23735

3

TITLE: Qualitative Case Review case stories

DATES: 1999-

ARRANGEMENT: Chronological by year of review, thereunder by region, thereunder numerical by QCR case number

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

The case story is a report by the lead reviewer which contains background information on the Division of Child and Family Services client and an analysis of how well the division delivered services to the client. The records may include correspondence and supporting documentation of the case review.

RETENTION:

Retain 6 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

These records are related to the David C. settlement case.

AGENCY: Department of Human Services. Office of Services Review

SERIES: 23735

TITLE: Qualitative Case Review case stories

(continued)

PRIMARY CLASSIFICATION:

Protected

SECONDARY CLASSIFICATION(S):

Private

Controlled